

NAIC Vendor Electronic Filing Submission Directive
as adapted for Washington—only filings with the Office of Insurance Commissioner

A. Naming Convention for ASCII Text and PDF Files

Following is a description of the composition of the names for PDF and TXT files.

- 1) The file name can vary in length, but will have a suffix extension of “**.PDF**” for Adobe Portable Document Format files or “**.TXT**” for text files.
- 2) The file name to the left of the suffix extension consists of the following fields, which are delimited by an underscore (“_”) character. The letters are not case-sensitive. The first eight fields must be identical to those of the ZIP file.
 - a) Company code that is composed of five digits
 - b) Two-digit primary vendor code
 - c) One-character statement type code
 - d) Four-digit filing year
 - e) One-character submission filing type code
 - f) One-character submission group type code
 - g) One- or two-digit version number code
 - h) One- or two-digit separate account ID
 - i) Two-character state supplement code
 - j) One- or two-character filing blob type code

The general form of the file name is **ccccc_vc_s_yyyy_f_d_vv_sa_ss_fb.ttt**.

Symbol	Meaning	
ccccc	Company code. Leading zeroes are required for combined filings in Washington.	
vc	Two-digit vendor code. These are assigned by the NAIC.	
s	Statement type code. Valid codes are listed below.	
	<i>Code</i>	Statement Type
	F	Fraternal
	L	Life, Accident, and Health
	P	Property and Casualty
	T	Title
	X	Health
yyyy	Four-digit year.	
f	Submission filing type code.	
	<i>Code</i>	Meaning
	O	Original filing—must be the first filing accepted by the OIC.
	A	Amendment filing—use only when amending an OIC-accepted filing.
	Refilings are done to correct data errors with the NAIC; file only O or A in Washington.	

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d	Submission group type code. Valid and typical codes are listed below.	
	<i>Code</i>	Filing Deadline or Special Filing
	M	March
	A	April
	R	Risk-Based Capital (RBC)
	S	Separate Accounts
	J	June
	1	Quarter 1
	2	Quarter 2
	3	Quarter 3
vv	Two-digit filing version number. Valid version numbers are 1 through 99. A leading zero may be supplied but is not required for numbers 1 through 9.	
sa	Two-digit Separate Account ID. If the submission group type code is “S”, then this field must contain a Separate Account ID that is valid for the company code and filing year. If the file represents any other type of filing, then this field must contain zero (0). A leading zero may be supplied but is not required for numbers 1 through 9.	
ss	Two-character State Supplement Code. If the PDF or TXT file is a Washington-only file (those in the filing BLOB type code section below), then this field MUST be “ WA ”. For the uniform NAIC PDF and TXT files, this field MUST be “ NA ”.	
fb	The filing BLOB type code. PDF files use symbols starting with a “P”, while the email response text file uses the <i>EM</i> symbol. Valid Washington-only codes are listed below.	
	<i>Symbol</i>	Type of Submission File
	PD	Additional Data Statement Form (HCSC, HMO and MEWA only)
	PT	Business Written by Agency (Title only)
	PE	CPA report on significant internal control deficiencies
	PQ	CPA qualifications letter
	PU	RCW 48.43.045(2) report (HCSC, HMO and domestic disability insurers)
	PR	Risk-Based Capital report (domestic only)
	PY	Schedule SIS (domestic only)
	PC	Supplemental Compensation Exhibit (domestic only)
	EM	Response Back E-Mail Address List (.TXT file)
.ttt	The file name extension identifies the type of file.	
	<i>Code</i>	Meaning
	PDF	PDF file
	TXT	Text file

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B. ZIP File Naming Convention

Following is a description of the composition of the ZIP file name.

- 1) The ZIP file name can vary in length but will have a suffix extension of **“.ZIP”**.
- 2) The file name to the left of the **“.ZIP”** extension consists of the following fields, which are delimited by an underscore (“_”) character. The letters are not case-sensitive.
 - a) Company code that is composed of five digits
 - b) Two-digit primary vendor code
 - c) One-character statement type code
 - d) Four-digit filing year
 - e) One-character submission filing type code
 - f) One-character submission group type code
 - g) One- or two-digit version number code
 - h) One- or two-digit separate account ID
 - i) Two-character state supplement code
 - j) One- or two-digit ZIP file sequence number

The general form of the file name is **cccccc_vc_s_yyyy_f_d_vv_sa_ss_zz.ZIP**.

Symbol	Meaning	
cccccc	Company code. Leading zeroes are required for combined filings in Washington.	
vc	Two-digit vendor code. These are assigned by the NAIC.	
s	Statement type code. Valid codes are listed below.	
	<i>Code</i>	Statement Type
	F	Fraternal
	L	Life, Accident, and Health
	P	Property and Casualty
	T	Title
	X	Health
yyyy	Four-digit year.	
f	Submission filing type code.	
	<i>Code</i>	Meaning
	O	Original filing—must be the first filing accepted by the OIC.
	A	Amendment filing—use only when amending an OIC-accepted filing.
	Refilings are done to correct data errors with the NAIC; file only O or A in Washington.	

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d	Submission group type code. Valid and typical codes are listed below.	
	<i>Code</i>	Filing Deadline or Special Filing
	M	March
	A	April
	R	Risk-Based Capital (RBC)
	S	Separate Accounts
	J	June
	1	Quarter 1
	2	Quarter 2
	3	Quarter 3
vv	Two-digit version number. Valid version numbers are 1 through 99. A leading zero may be supplied but is not required for numbers 1 through 9.	
sa	Two-digit Separate Account ID. If the submission group type code is "S", then this field must contain a Separate Account ID that is valid for the company code and filing year. If the ZIP file represents any other type of filing, then this field must contain zero (0). A leading zero may be supplied but is not required for numbers 1 through 9.	
ss	Two-character State Supplement Code. Must use "WA" for domestic RBC filings. Otherwise, the OIC accepts ZIP files with either "NA" or "WA". Users may add Washington—only PDF and TXT files into uniform NAIC ZIP files for any submission group type code except "R".	
zz	Two-digit ZIP file sequence number. This number uniquely identifies different ZIP files that use the same first eight fields as another ZIP file. Valid filing sequence numbers are 1 through 99. A leading zero may be supplied but is not required for numbers 1 through 9.	
.ZIP	The file name extension identifies the file as a ZIP file.	